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NOTICE OF ALLOWANCE AND FEE(S) DUE

28062

7590

10/22/2008

BUCKLEY, MASCHOFF & TALWALKAR LLC
50 LOCUST AVENUE
NEW CANAAN, CT 06840

EXAMINER

HAVAN, THU THAO

ART UNIT

PAPER NUMBER

3693

DATE MAILED: 10/22/2008

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/872,687

05/31/2001

Hernan G. Otero

21710-68172

3804

TITLE OF INVENTION: COMPUTERIZED INTERFACE FOR CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION PROCESSES AND PROGRAMS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	01/22/2009

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

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Complete and send this form, together with applicable fee(s), to: **Mail**

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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

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28062 7590 10/22/2008

BUCKLEY, MASCHOFF & TALWALKAR LLC
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NEW CANAAN, CT 06840

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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE-FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

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nonprovisional	NO	\$1510	\$300	\$0	\$1810	01/22/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
HAVAN, THU THAO	3693	705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/147; Rev 03-02 or more recent) attached. Use of a **Customer Number is required.**

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,

1

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

2

3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY AND STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☐ Issue Fee
☐ Publication Fee (No small entity discount permitted)
☐ Advance Order - # of Copies _____

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
☐ Payment by credit card. Form PTO-2038 is attached.
☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature _____ Date _____
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This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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28062	7590	10/22/2008	EXAMINER	
BUCKLEY, MASCHOFF & TALWALKAR LLC 50 LOCUST AVENUE NEW CANAAN, CT 06840			HAVAN, THU THAO	
			ART UNIT	PAPER NUMBER

3693

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Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 734 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 734 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Notice of Allowability**Application No.**

09/872,687

Applicant(s)

OTERO ET AL.

Examiner

THU-THAO HAVAN

Art Unit

3693

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERIT IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 2/12/07.
2. ☒ The allowed claim(s) is/are 1, 5, 6, 11, 12, 17-21, and 25-26.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
(a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
(b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.
Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date _____
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),
Paper No./Mail Date _____
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____.

Detailed Action

Drawings

The Examiner accepts the drawings filed on November 20, 2001.

EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given via email with Mr. Nathaniel Levin on June 26, 2008.

The application has been amended as follows:

Please cancel claims 14, 16, 22-24, and 27.

1. (currently amended) ~~An apparatus for a computerized trading system~~ An article of manufacture comprising:

a computer usable medium having computer readable program code means embodied therein for implementing a logic engine and an interface, the computer readable program code means in said article of manufacture comprising:

a logic engine comprising computer readable program code means for causing said logic engine to perform an algorithm for implementing a trading strategy; and

~~an interface comprising~~ computer readable program code means for implementing said interface, said interface including a first sub-interface and a second sub-interface, wherein:

said first sub-interface ~~allows~~ is for allowing a user to modify said algorithm by changing a mapping between an event and an action;

said second sub-interface ~~allows~~ is for allowing the user to review details of orders executed by the logic engine; and

said interface ~~allows~~ is for allowing the user to navigate among said first and second sub-interfaces.

2-4. (canceled)

5. (currently amended) The ~~apparatus~~ article of manufacture of claim 1 wherein said interface comprises a graphical user interface.

6. (currently amended) The ~~apparatus~~ article of manufacture of claim 1 wherein said first sub-interface comprises a graphical user interface.

7-10. (canceled)

11. (currently amended) The ~~apparatus~~ article of manufacture of claim 1 wherein: said interface further comprises a third sub-interface which allows the user to monitor operation of a server computer that executes the logic engine; and said interface allows the user to navigate among said first, second and third sub-interfaces.

12. (previously presented) A method for computerized trading comprising:
providing a logic engine with an algorithm for implementing a trading strategy;

providing an interface that includes a first sub-interface and a second sub-interface;

using the first sub-interface to modify said algorithm by changing a mapping between an event and an action;

processing a trade using said logic engine with said modified algorithm; and
using the second sub-interface to review details of orders executed by the logic engine.

13-16. (canceled)

17. (currently amended) The ~~apparatus~~ article of manufacture of claim 1, wherein the trading strategy is selected from the group consisting of:

- (a) a Volume-Weighted-Average-Price strategy;
- (b) a Ratio strategy;
- (c) a Gamma Hedge strategy;
- (d) an Iceberg strategy; and
- (e) a CB Delta Hedge strategy.

18. (currently amended) The ~~apparatus~~ article of manufacture of claim 1, wherein the first sub-interface includes an event editor interface, a condition editor interface and an action editor interface.

19. (previously presented) The method of claim 12, wherein said interface also includes a third sub-interface, and the method further comprising:

using said third sub-interface to monitor operation of a server computer which executes the logic engine.

20. (previously presented) The method of claim 12, wherein the trading strategy is selected from the group consisting of:

- (a) a Volume-Weighted-Average-Price strategy;
- (b) a Ratio strategy;
- (c) a Gamma Hedge strategy;
- (d) an Iceberg strategy; and
- (e) a CB Delta Hedge strategy.

21. (previously presented) The method of claim 12, wherein the first sub-interface includes an event editor interface, a condition editor interface and an action editor interface.

22-24. (canceled)

25. (currently amended) The ~~apparatus~~ article of manufacture of claim 1, wherein said action is placement of a securities trading order.

26 (previously presented) The method of claim 12, wherein said action is placement of a securities trading order.

Allowable Subject Matter

Claims 1, 5, 6, 11, 12, 17-21, and 25-26 are allowed.

The following is an examiner's statement of reasons for allowance: The present invention generally discloses the modifications of computer software for trading on financial markets. The prior arts of record include the teaching of Magill et al. (US 2004/0143542), Kane (US 6,317,728), and Maves et al. (US 6,125,442). Magill teaches an automated securities trading system for displaying an interactive order book system

for aggregating, manipulating, displaying and interacting with order data. On the other hand, Kane teaches securities trading system in which the decision logic includes at least one decision agent, the agent representing a respective buy/sell rule, wherein further the decision logic may include at least two decision agents, each decision agent representing a respective buy rule or a respective sell rule. Furthermore, Maves teaches the development (including design, build, test, maintenance and modification) as well as execution of computer application software that includes an "event" to define as any planned happening, most notably including those that occur in carrying out an application with the data variables associated with Model-Menu-sub consisting of an action which stores the menu selection. However, the prior arts of record fail to teach, singly or in combination a computer readable medium storing computer readable code which when executed by a trading system computer causes the trading system computer to execute a method comprising an algorithm for implementing a trading strategy and an interface comprising a first sub-interface and a second sub-interface wherein first sub-interface allows a user to modify algorithm by changing a mapping between an event and an action.

The examiner agrees with the applicants' arguments presented in the Appeal Brief of February 12, 2007 and has withdrawn the rejection under 35 USC 103 by Magill, Kane, and Maves. The prior arts of records taken singly or in combination fail to teach or fairly suggest the claimed invention. Therefore, the examiner favors the allowance of claims 1, 5, 6, 11, 12, 17-21, and 25.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

1. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. ***
 - a. "IN TOUCH" discloses a Graphical User Interface development tool.
 - b. "A new strategy in Fuzzy Inference Systems" discloses fuzzy logic inference systems that map one dimensional space by rules.
 - c. "Microcontrollers and Fuzzy Logic" discloses using fuzzy logic to translate rules into non linear mapping.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thu Thao Havan whose telephone number is (571) 272-8111. The examiner can normally be reached during her flextime schedule.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Art Unit: 3693

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct-uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at (866) 217-9197 (toll-free).

TTH

9/28/2007

/Alexander Kalinowski/

Supervisory Patent Examiner, Art Unit 3691